

PATENT

UC135 U.S. PTO
09/207972
12/09/98

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:
Gardner et al.

Group Art Unit: unknown
Examiner: unknown

Serial No. unknown

Atty. Dkt. No.: 5500-36100

Filed: herewith

For: **ULTRATHIN HIGH-K GATE
DIELECTRIC WITH FAVORABLE
INTERFACE PROPERTIES FOR
IMPROVED SEMICONDUCTOR
DEVICE PERFORMANCE**

**CERTIFICATE OF EXPRESS MAIL
UNDER 37 C.F.R. § 1.10**

"Express Mail" mailing label number: EL101520495US
Date of Deposit: December 9, 1998

I hereby certify that this document is being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to: Assistant Commissioner for Patents, **Box Patent Application**, Washington, D.C. 20231

Roger Combs

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicant requests consideration of ☐ the references listed on the attached Form PTO-1449 and/or ☒ the additional information identified below in paragraph 3.

1. This Information Disclosure Statement is submitted:
- a. ☒ within 3 months of the filing date of the above identified application, or within 3 months of entry into National stage prosecution of an International application, or before the mailing date of the first Office Action on the merits, and thus no certification and/or fee is required.

- b. ☐ after the events of above paragraph 1a and prior to the mailing date of a final Office Action or Notice of Allowance, and thus:
- ☐ the certification of paragraph 2 below is provided, or
- ☐ a fee of \$240.00 is enclosed.
- c. ☐ after the mailing date of a final Office Action or a Notice of Allowance and prior to payment of the issue fee, and thus:
- ☐ the certification of paragraph 2 below is provided, and
- ☐ a Petition and fee of \$130.00 are enclosed.

2. It is hereby certified:

- ☐ that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or
- ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in § 1.56 (c) more than three months prior to the filing of the Statement.

3. ☒ Consideration of the following additional information (including any co-pending or abandoned U.S. applications, prior uses and/or sales, etc.) is requested:

08/950,042 filed October 14, 1997 (5500-12200)

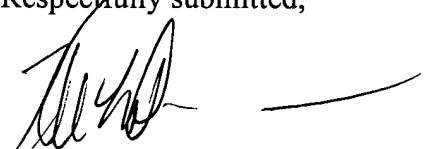
4. For each non-English language reference listed on the attached Form PTO-1449:

- ☐ reference is made to an English language translation submitted herewith, and/or
- ☐ reference is made to a foreign patent office search report (in the English language) submitted herewith, and/or
- ☐ reference is made to an English language translation of a foreign patent office search report submitted herewith, and/or
- ☐ reference is made to the concise explanation contained in the specification of the present application at page(s) _____, and/or
- ☐ reference is made to the concise explanation set forth below:

5. ☐ Applicant also offers the following comments for the Examiner's consideration:
6. ☐ Also enclosed is a copy of a foreign search report citing these references.
7. ☐ The listed documents were brought to the attention of the Applicant(s) after payment of the issue fee in the captioned case. The documents were cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. Applicant(s) request this Information Disclosure Statement and attached Form PTO-1449 be placed in the file of the captioned application.
8. ☐ Applicant(s) requests that the Information Disclosure Statement and attached Form PTO-1449 and references, which are being filed before the grant of the patent and pursuant to 37 C.F.R. § 1.97(i), be placed in the file of the captioned application.

If any required fees are missing, the Commissioner is authorized to charge said fees to Conley, Rose & Tayon, P.C. Deposit Account No. 03-2769/5500-36100/KLD. **A duplicate copy of this sheet is enclosed.**

Respectfully submitted,



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Date: December 9, 1998